

Instructions for Policy-in-Force

1. Double click on the Policy In Force Application.
2. Save PolicyInForce.zip to desktop or local drive.
3. Open PolicyInForce.zip and extract 2010 Policy in Force.mde. Simply opening this mde tends to cause problems. PLEASE be sure to EXTRACT the database vs opening it.
4. Double click the 2010 Policy in Force.mde application to begin reporting process.

The Company ID form should display when the application is opened. Below is a screen print of the required information. All information on the Company ID form must be provided prior to completing other forms. Selection of "Save Record" before proceeding will eliminate the need to input your company FEIN on each form.

Company ID Form

The screenshot displays the Microsoft Access application window titled "Microsoft Access - [2010 PIF Data]". The menu bar includes File, Edit, View, Insert, Format, Records, Tools, Window, Help, and Adobe PDF. The form is divided into two main sections. The top section contains input fields for FEIN, NAIC CODE (with a dropdown menu showing '0'), COMPANY NAME, Address (two lines), Company Contact, Telephone #, and email address. Below these fields is a "Save Record" button. The bottom section contains a grid of buttons for selecting data categories: "All Life Data", "Individual A and H", "Small Group A and H", "Large Group A and H", "Association Trust Group A and H", "MEWA Group A and H", "Discretionary Group A and H", "Other Groups and Administrative Servs Plans", and a "Close Application" button at the bottom left.

New Data Submission Procedure – please read

The following steps will produce a Microsoft excel file containing the company data. By submitting data in an excel format companies are no longer required to submit data through the State's secured web portal. These instructions were written based on the use of Access 2003 and Excel 97-2003 (*.xls).

- Once the Company ID form is completed, the user may select and complete policy count information for each applicable category.
- See Answers to Frequently Asked Questions regarding submission of data for multiple companies within one data file.
- Selection of the Close Form tab from any category form returns the user to the Company ID form.
- Once all categories are completed, the user must select the “Close Application” tab from the Company ID form.
- Select “Tables” on left side if not already selected.
- Right click on “2010 PIF Data” file and select Export.
- Save in: local location, I suggest the desktop.
- File name: **PLEASE NOTE** - For data file consistency the DOI requests that all file names reflect the company FEIN or NAIC # of one of the companies included in the data file. If you submit data for multiple companies in the same file simply pick one of the companies. Do not include spaces in file name. For example, the properly formatted data file would resemble: 123456789.csv.
- Save as type: Microsoft Excel 3 (*.xls)
- Select Export
- The completed (*.xls) file must be submitted to the Department by email at: DOI.CostContainment@Illinois.gov. Please include “2010 Policy in Force” in the subject line of your email.

Please be advised that all companies licensed to write insurance in the State of Illinois, pursuant to Section 4, Class 1 and Class 2, are subject to the Policy-In-Force requirements. Specifically, all companies meeting either of the following conditions are required to submit data.

- All insurers that file under the Life, Accident, & Health; Health; or Fraternal blank and reported premiums for Illinois (line 14) on their 2009 schedule T.
- All insurers that file under the Property & Casualty blank and reported premiums on their Illinois 2009 State Page Exhibit for line 13, 14, 15.1, 15.2, 15.3, 15.4, 15.5, or 15.7.

The Department will expect receipt of all data no later than **May 1, 2011**.

Screen Print for each Coverage Area

Microsoft Access - [2009 PIF Data]

File Edit View Insert Format Records Tools Window Help Adobe PDF Type a question

FEIN

Ind Industrial Life	0
Ind Ordinary Life	0
Ind Term Life	0
Ind Variable and or Interest Sensitive Lil	0
Ind COLI Life	0
Ind Credit Life	0
Ind Variable and or Interest Sensitive Ar	0
Ind Equity Annuity	0
Ind Fixed Annuity	0

Grp Life Policy 0 Grp Life Cert 0

Grp Life Descretionary Policy 0 Grp Life Descretionary Cert 0

Grp Life COLI Policy 0 Grp Life COLI Cert 0

Grp Credit Life Policy 0 Grp Credit Life Cert 0

Grp Vaible and or Interest Sensitive An 0 Grp Variable and or Interest Sensitive. 0

Grp Equity Annuity Policy 0 Grp Equity Annuity Cert 0

Grp Fixed Annuity Policy 0 Grp Fixed Annuity Cert 0

Close Form

Microsoft Access - [2009 PIF Data]

File Edit View Insert Format Records Tools Window Help Adobe PDF Type a question

FEIN

Ind Cancer or Specified Disease	0
Ind HosSurg	0
Ind LTC	0
Ind Comp Mjr Med	0
Ind Med Sup	0
Ind Short Term	0
Ind Credit Disability	0
Ind Dental, Vision, or Other	0
Ind DI	0
Ind HSA	0
Ind Hos Indmenity	0
Ind Accident Only	0

Close Form

Microsoft Access - [2009 PIF Data]

File Edit View Insert Format Records Tools Window Help Adobe PDF Type a question for help

FEIN

Sml Grp Cancer or Specified Disease Policy	<input type="text" value="0"/>	Sml Grp Cancer or Specified Disease Cert	<input type="text" value="0"/>
Sml Grp HosSurg Policy	<input type="text" value="0"/>	Sml Grp HosSurg Cert	<input type="text" value="0"/>
Sml Grp LTC Policy	<input type="text" value="0"/>	Sml Grp LTC Cert	<input type="text" value="0"/>
Sml Grp Comp Mjr Med Policy	<input type="text" value="0"/>	Sml Grp Comp Mjr Med Cert	<input type="text" value="0"/>
Sml Grp Med Sup Policy	<input type="text" value="0"/>	Sml Grp Med Sup Cert	<input type="text" value="0"/>
Sml Grp Short Term Policy	<input type="text" value="0"/>	Sml Grp Short Term Cert	<input type="text" value="0"/>
Sml Grp Credit Disability Policy	<input type="text" value="0"/>	Sml Grp Credit Disability Cert	<input type="text" value="0"/>
Sml Grp Dental, Vision, or Other Policy	<input type="text" value="0"/>	Sml Grp Dental, Vision, or Other Cert	<input type="text" value="0"/>
Sml Grp DI Policy	<input type="text" value="0"/>	Sml Grp DI Cert	<input type="text" value="0"/>
Sml Grp HSA Policy	<input type="text" value="0"/>	Sml Grp HSA Cert	<input type="text" value="0"/>
Sml Grp Hos Indemnity Policy	<input type="text" value="0"/>	Sml Grp Hos Indemnity Cert	<input type="text" value="0"/>
Sml Grp Accident Only Policy	<input type="text" value="0"/>	Sml Grp Accident Only Cert	<input type="text" value="0"/>

Close Form

Microsoft Access - [2009 PIF Data]

File Edit View Insert Format Records Tools Window Help Adobe PDF Type a question for help

FEIN

Lrg Grp Cancer or Specified Disease Policy	<input type="text" value="0"/>	Lrg Grp Cancer or Specified Disease Cert	<input type="text" value="0"/>
Lrg Grp HosSurg Policy	<input type="text" value="0"/>	Lrg Grp HosSurg Cert	<input type="text" value="0"/>
Lrg Grp LTC Policy	<input type="text" value="0"/>	Lrg Grp LTC Cert	<input type="text" value="0"/>
Lrg Grp Comp Mjr Med Policy	<input type="text" value="0"/>	Lrg Grp Comp Mjr Med Cert	<input type="text" value="0"/>
Lrg Grp Med Sup Policy	<input type="text" value="0"/>	Lrg Grp Med Sup Cert	<input type="text" value="0"/>
Lrg Grp Short Term Policy	<input type="text" value="0"/>	Lrg Grp Short Term Cert	<input type="text" value="0"/>
Lrg Grp Credit Disability Policy	<input type="text" value="0"/>	Lrg Grp Credit Disability Cert	<input type="text" value="0"/>
Lrg Grp Dental, Vision, or Other Policy	<input type="text" value="0"/>	Lrg Grp Dental, Vision, or Other Cert	<input type="text" value="0"/>
Lrg Grp DI Policy	<input type="text" value="0"/>	Lrg Grp DI Cert	<input type="text" value="0"/>
Lrg Grp HSA Policy	<input type="text" value="0"/>	Lrg Grp HSA Cert	<input type="text" value="0"/>
Lrg Grp Hos Indemnity Policy	<input type="text" value="0"/>	Lrg Grp Hos Indemnity Cert	<input type="text" value="0"/>
Lrg Grp Accident Only Policy	<input type="text" value="0"/>	Lrg Grp Accident Only Cert	<input type="text" value="0"/>

Close Form

Microsoft Access - [2009 PIF Data]

File Edit View Insert Format Records Tools Window Help Adobe PDF Type a question for help

FEIN

Assoc Grp Cancer or Specified Disease Policy	<input type="text" value="0"/>	Assoc Grp Cancer or Specified Disease Cert	<input type="text" value="0"/>
Assoc Grp HosSurg Policy	<input type="text" value="0"/>	Assoc Grp HosSurg Cert	<input type="text" value="0"/>
Assoc Grp LTC Policy	<input type="text" value="0"/>	Assoc Grp LTC Cert	<input type="text" value="0"/>
Assoc Grp Comp Mjr Med Policy	<input type="text" value="0"/>	Assoc Grp Comp Mjr Med Cert	<input type="text" value="0"/>
Assoc Grp Med Sup Policy	<input type="text" value="0"/>	Assoc Grp Med Sup Cert	<input type="text" value="0"/>
Assoc Grp Short Term Policy	<input type="text" value="0"/>	Assoc Grp Short Term Cert	<input type="text" value="0"/>
Assoc Grp Credit Disability Policy	<input type="text" value="0"/>	Assoc Grp Credit Disability Cert	<input type="text" value="0"/>
Assoc Grp Dental, Vision, or Other Policy	<input type="text" value="0"/>	Assoc Grp Dental, Vision, or Other Cert	<input type="text" value="0"/>
Assoc Grp DI Policy	<input type="text" value="0"/>	Assoc Grp DI Cert	<input type="text" value="0"/>
Assoc Grp HSA Policy	<input type="text" value="0"/>	Assoc Grp HSA Cert	<input type="text" value="0"/>
Assoc Grp Hos Indemnity Policy	<input type="text" value="0"/>	Assoc Grp Hos Indemnity Cert	<input type="text" value="0"/>
Assoc Grp Accident Only Policy	<input type="text" value="0"/>	Assoc Grp Accident Only Cert	<input type="text" value="0"/>

Close Form

Microsoft Access - [2009 PIF Data]

File Edit View Insert Format Records Tools Window Help Adobe PDF Type a question for help

FEIN

MEWA Grp Cancer or Specified Disease Policy	<input type="text" value="0"/>	MEWA Grp Cancer or Specified Disease Cert	<input type="text" value="0"/>
MEWA Grp HosSurg Policy	<input type="text" value="0"/>	MEWA Grp HosSurg Cert	<input type="text" value="0"/>
MEWA Grp LTC Policy	<input type="text" value="0"/>	MEWA Grp LTC Cert	<input type="text" value="0"/>
MEWA Grp Comp Mjr Med Policy	<input type="text" value="0"/>	MEWA Grp Comp Mjr Med Cert	<input type="text" value="0"/>
MEWA Grp Med Sup Policy	<input type="text" value="0"/>	MEWA Grp Med Sup Cert	<input type="text" value="0"/>
MEWA Grp Short Term Policy	<input type="text" value="0"/>	MEWA Grp Short Term Cert	<input type="text" value="0"/>
MEWA Grp Credit Disability Policy	<input type="text" value="0"/>	MEWA Grp Credit Disability Cert	<input type="text" value="0"/>
MEWA Grp Dental, Vision, or Other Policy	<input type="text" value="0"/>	MEWA Grp Dental, Vision, or Other Cert	<input type="text" value="0"/>
MEWA Grp DI Policy	<input type="text" value="0"/>	MEWA Grp DI Cert	<input type="text" value="0"/>
MEWA Grp HSA Policy	<input type="text" value="0"/>	MEWA Grp HSA Cert	<input type="text" value="0"/>
MEWA Grp Hos Indemnity Policy	<input type="text" value="0"/>	MEWA Grp Hos Indemnity Cert	<input type="text" value="0"/>
MEWA Grp Accident Only Policy	<input type="text" value="0"/>	MEWA Grp Accident Only Cert	<input type="text" value="0"/>

Close Form

Microsoft Access - [2009 PIF Data]

File Edit View Insert Format Records Tools Window Help Adobe PDF Type a question for help

FEIN

Disc. Grp Cancer or Specified Disease Policy	<input type="text" value="0"/>	Disc. Grp Cancer or Specified Disease Cert	<input type="text" value="0"/>
Discretionary Grp HosSurg Policy	<input type="text" value="0"/>	Discretionary Grp HosSurg Cert	<input type="text" value="0"/>
Discretionary Grp LTC Policy	<input type="text" value="0"/>	Discretionary Grp LTC Cert	<input type="text" value="0"/>
Discretionary Grp Comp Mjr Med Policy	<input type="text" value="0"/>	Discretionary Grp Comp Mjr Med Cert	<input type="text" value="0"/>
Discretionary Grp Med Sup Policy	<input type="text" value="0"/>	Discretionary Grp Med Sup Cert	<input type="text" value="0"/>
Discretionary Grp Short Term Policy	<input type="text" value="0"/>	Discretionary Grp Short Term Cert	<input type="text" value="0"/>
Discretionary Grp Credit Disability Policy	<input type="text" value="0"/>	Discretionary Grp Credit Disability Cert	<input type="text" value="0"/>
Discretionary Grp Dental, Vision, or Other Policy	<input type="text" value="0"/>	Discretionary Grp Dental, Vision, or Other Cert	<input type="text" value="0"/>
Discretionary Grp DI Policy	<input type="text" value="0"/>	Discretionary Grp DI Cert	<input type="text" value="0"/>
Discretionary Grp HSA Policy	<input type="text" value="0"/>	Discretionary Grp HSA Cert	<input type="text" value="0"/>
Discretionary Grp Hos Indemnity Policy	<input type="text" value="0"/>	Discretionary Grp Hos Indemnity Cert	<input type="text" value="0"/>
Discretionary Grp Accident Only Policy	<input type="text" value="0"/>	Discretionary Grp Accident Only Cert	<input type="text" value="0"/>

Close Form

Microsoft Access - [2009 PIF Data]

File Edit View Insert Format Records Tools Window Help Adobe PDF Type a question for help

FEIN

School / Student Grp Policy	<input type="text" value="0"/>	School / Student Grp Cert	<input type="text" value="0"/>
Combination Health Life Grp Policy	<input type="text" value="0"/>	Combination Health Life Grp Cert	<input type="text" value="0"/>
Excess Stop Loss Grp Policy	<input type="text" value="0"/>	Excess Stop Loss Grp Cert	<input type="text" value="0"/>
Travel Accident Grp Policy	<input type="text" value="0"/>	Travel Accident Grp Cert	<input type="text" value="0"/>
Administrative Services Grp A & H Policy	<input type="text" value="0"/>	Administrative Services Grp A & H Certs	<input type="text" value="0"/>
Administrative Services Grp Other Policy	<input type="text" value="0"/>	Administrative Services Grp Other Cert	<input type="text" value="0"/>
Administrative Services Grp Disability Policy	<input type="text" value="0"/>	Administrative Services Grp Disability Cert	<input type="text" value="0"/>

Close Form

Definitions:

1. **Policy:** A written, signed contract of insurance between an insurance company and the policyholder.
2. **Certificate:** A statement issued to a member of a group certifying that an insurance contract has been written and containing a summary of the terms applicable to that member. Under group coverage, a master policy is issued to the company, association, or trust, and certificates of insurance are given to the individuals covered by the term of the policy.
3. **Small Group:** Less than 50 certificates, coverage not otherwise defined or assigned to any other category provided.
4. **Large Group:** More than 50 certificates, coverage not otherwise defined or assigned to any other category provided.
5. **Association Group:** Any health plan regardless of # of certificates sponsored by an association. The programs are generally large groups. Insurers market & underwrite on an individual basis. Certificate holders are generally individually underwritten.
6. **MEWA (Multiple Employer Welfare Arrangement):** Provides benefits to employees of two or more private employers. They are most often regulated by the Employee Retirement Income Security Act (ERISA)
7. **Discretionary Group:** Do not meet the requirements as a traditional group, such as employer/employee or association groups. The insured certificate holders do not have any association/affiliation with each other, as in employer/employee groups, other than being a holder of the same credit card. Also, there could be a trust set up to be the master policy holder, such as a bank. If the group does not meet the definition under 215 ILCS 5/367 or 367a they are considered a discretionary group. Certificate holders are generally individually underwritten.
8. **Administrative Services Plans** are defined in Section 215 ILCS 5/511.100 of the Illinois Insurance Code. The specific definition of "Administrator", located in Section 511.101, identifies any person that adjusts or settles claims on behalf of a plan sponsor or insurer for a fee as an administrator.

Answers to Frequently Asked Questions

1. Variable and or Interest Sensitive categories include all products where performance is dependent on an underlying security or interest index.
2. Medicare advantage plus programs are not collected at this time.
3. HMO's or LHSO's are not required to provide any data at this time.
4. Medicaid data is not currently collected
5. Companies with no policy information must notify the Department to satisfy the reporting requirements by provide a letter or e-mail to the address below.

6. Submission of data for multiple companies within one data file is completed by simply selecting a new record on the bottom of the Company ID form. It appears as a triangle followed by an *. This creates a blank new record in which you can provide data for your next company.

Saving data:

Data is automatically saved when the application is closed.

Completion:

This data call may be submitted via regular mail or by e-mail. The Department strongly encourages the electronic submission of data by emailing your completed (*.xls) file to: DOI.CostContainment@Illinois.gov. Company data may also be submitted by sending a CD to:

Illinois Department Insurance
Cost Containment Section
320 West Washington Street, 5th Floor
Springfield, IL 62786
Attn: Robert P. Rapp

If you have any questions, please contact Robert Rapp at 217-785-1680.